



JC06 Rec'd PCT/PTO 08 AUG 2005

PCT

Attorney Docket No.: 2543-1-039PCT/US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S) : Jonathan Alexander Terrett
SERIAL NO. : 10/510,507
FILED : April 20, 2005
FOR : DIAGNOSIS OF CARCINOMA USING RAIG1
POLYPEPTIDES

Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450 on AUGUST 5, 2005.

Karen Garipoli
(Name of Person Mailing)

Karen Garipoli 8/5/05
(Signature and Date)

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Applicants hereby request that a corrected Formal Filing Receipt (PTO-103X) be issued to correct the title in the above-identified Application.

Please correct the title from "Protein Involved in Carcinoma" to

-- DIAGNOSIS OF CARCINOMA USING RAIG1 POLYPEPTIDES --

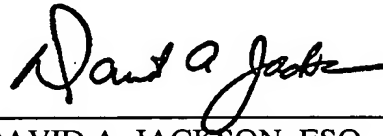
as it appears on the following documents, copies enclosed herewith:

- 1) Copy of Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, filed on October 7, 2004;
- 2) Copy of the first page of the Published PCT application; PCT/GB2003/001587, WO 2003/087832 A3, filed on October 7, 2004; and
- 3) Copy of the Executed Declaration and Power of Attorney Document, filed on April 20, 2005.

A copy of the filing receipt with the requested correction marked in red is also enclosed.

Applicants accordingly request that the records of the U.S. Patent and Trademark Office be corrected to reflect the correct title.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "David A. Jackson", written over a horizontal line.

DAVID A. JACKSON, ESQ.
Attorney for Applicant
Registration No. 26,742

KLAUBER & JACKSON LLC
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Hackensack, NJ 07601
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Enclosures



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/510,507	04/20/2005	1645	1080	2543-1-039PCT/US	8	20	1

CONFIRMATION NO. 2619

23565
 KLAUBER & JACKSON
 411 HACKENSACK AVENUE
 HACKENSACK, NJ 07601

FILING RECEIPT



OC000000016621828

Date Mailed: 07/28/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Jonathan Alexander Terrett, Oxfordshire, UNITED KINGDOM;

Power of Attorney: The patent practitioners associated with Customer Number 23565.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB03/01587 04/10/2003

Foreign Applications

UNITED KINGDOM 0208331.9 04/11/2002

UNITED KINGDOM 0221538.2 09/17/2002

Projected Publication Date: 11/03/2005

Non-Publication Request: No

Early Publication Request: No

CORRECT TITLE TO READ:

Title

~~Protein Involved In carcinoma~~

DIAGNOS OF CARCINOMA USING
 RAIFI POLYPEPTIDES

Preliminary Class

435

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Attorney Docket No. 2543-1-039PCT/US

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below under my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

DIAGNOSIS OF CARCINOMA USING RAIG1 POLYPEPTIDES

the Specification of which

☒ [X] is attached hereto

☒ [X] was filed on April 10, 2003
as Application Serial No. PCT/GB2003/001587.

I hereby state that I have reviewed and understand the contents of the above-identified Specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, ' 119 (a)-(d) or ' 365(b) of any foreign application(s) for patent or inventor=s certificate, or ' 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor=s certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

<u>APPLICATION NUMBER</u>	<u>PRIOR FOREIGN FILED APPLICATION(S) COUNTRY</u>	<u>(MONTH/DAY/YYYY)</u>	<u>PRIORITY CLAIMED</u>
0208331.9	Great Britain	April 11, 2002	YES
0221538.2	Great Britain	September 17, 2002	YES

I hereby claim the benefit under Title 35, United States Code '119(e) of any United States provisional application(s) listed below.

APPLICATION NUMBER(S)

FILING DATE (MM/DD/YYYY)

I hereby claim the benefit under Title 35, United States Code, ' 120 of any United States application(s), or ' 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code ' 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations ' 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>U.S. Parent</u> <u>Application No.</u>	<u>PCT Parent</u> <u>Number</u>	<u>Parent Filing</u> <u>(MM/DD/YYYY)</u>	<u>Parent Patent</u> <u>Number (if applicable)</u>
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I hereby appoint as my attorneys or agents the registered persons identified under

Customer No. 23565

for the law firm of Klauber & Jackson, said attorneys or agents with full power of substitution and revocation to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Please address all correspondence regarding this application to **Customer No. 23565**.

DAVID A. JACKSON, ESQ.
KLAUBER & JACKSON
411 HACKENSACK AVENUE
HACKENSACK, NEW JERSEY 07601

Direct all telephone calls to David A. Jackson at (201) 487-5800.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST OR SOLE INVENTOR: **Jonathan Alexander TERRETT**

COUNTRY OF CITIZENSHIP: Great Britain

FULL RESIDENCE ADDRESS: The Forum
86 Milton Park
Abingdon, Oxfordshire, OX14 4RY
United Kingdom

FULL POST OFFICE ADDRESS: SAME AS ABOVE

SIGNATURE OF INVENTOR X



X

DATE

Nov 3rd 2004

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371****2543-1-039PCT/US**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.
PCT/GB2003/001587INTERNATIONAL FILING DATE
APRIL 10, 2003PRIORITY DATE CLAIMED
APRIL 11, 2002

TITLE OF INVENTION

DIAGNOSIS OF CARCINOMA USING RAIGI POLYPEPTIDES

APPLICANT(S) FOR DO/EO/US

JONATHAN ALEXANDER TERRETT

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). **UNEXECUTED**
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13~~ter~~.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: **DRAWINGS-8 SHEETS-FIG. 1-8; SEQ. LIST-PAPER; SEQ. STATEMENT IN SUPPORT OF DISK COPY INT'L SEARCH REPT; COPY NOTICE CONCERN TRANSMITTAL OF PRIORITY DOC.**

EXPRESS MAIL NO.: EV 226648040 **US**

DATE OF DEPOSIT: OCTOBER 7, 2004

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property
Organization
International Bureau



(43) International Publication Date
23 October 2003 (23.10.2003)

PCT

(10) International Publication Number
WO 2003/087832 A3

(51) International Patent Classification⁷: G01N 33/574

(21) International Application Number:
PCT/GB2003/001587

(22) International Filing Date: 10 April 2003 (10.04.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:
0208331.9 11 April 2002 (11.04.2002) GB
0221538.2 17 September 2002 (17.09.2002) GB

(71) Applicant (for all designated States except US): OXFORD
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(72) Inventor; and

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(74) Agent: BLAKEY, Alison, Jane; Oxford GlycoSciences
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shire OX14 4RY (GB).

(81) Designated States (national): AE, AG, AL, AM, AT, AU,
AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU,
CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH,
GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC,
LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW,
MX, MZ, NI, NO, NZ, OM, PH, PL, PT, RO, RU, SC, SD,
SE, SG, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, US,
UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (regional): ARIPO patent (GH, GM,
KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW),
Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM),
European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE,
ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO,
SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM,
GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

Published:

- with international search report
- before the expiration of the time limit for amending the
claims and to be republished in the event of receipt of
amendments

(88) Date of publication of the international search report:
12 February 2004

For two-letter codes and other abbreviations, refer to the "Guid-
ance Notes on Codes and Abbreviations" appearing at the begin-
ning of each regular issue of the PCT Gazette.

(54) Title: DIAGNOSIS OF CARCINOMA USING RAIGI POLYPEPTIDES

1 MATTVPDGR NGLSKYYRL CDKAEANGIV LETVATAGVV TSVAFMLTLP ILVCKVQDSN
61 RRKMLPTQFL FLLGVLGIFG LTFAPFIIGLD GSTGPTRFFL FGILFSICFS CLLAHAVSLT
121 KLVGRGKPLS LLVILGLAVG FSLVQDVIAI EYIVLTMNRT NVNVVSELGA PRNEDFVLL
181 LTYVLFMLAL TPLMSSPTFC GSFTGWRKHC AHIYLTMLLS IAIWVAWITL LMLPDFDRRW
241 DDTILSSALA ANGWVPLLAY VSPEFWLLTK QRNPMYPVE DAPCKPQLVK KSYGVENRAY
301 SQEITQGE ETGDTLYAPY STHFQLQNP PQKEVSIPIA HANVSPYKDY EVKKEGS

(57) Abstract: The present invention relates to the new uses of a polypeptide (retinoic acid-inducible gene 1; RAIG1, also known as hypothetical protein FLJ10899 or retinoic acid induced 3) compositions comprising the polypeptide, including vaccines, antibodies that are immunospecific for the polypeptide and agents which interact with or modulate the expression or activity of the polypeptide or the expression of the nucleic acid which encodes the polypeptide. The use of the polypeptide in the diagnosis, screening and treatment of carcinoma, e.g. breast cancer, pancreatic cancer, lung cancer, liver cancer, ovarian cancer, colon cancer and/or osteosarcoma, is also provided.

WO 2003/087832 A3